



2179

PATENTS

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

(Attorney Docket No.: 109878.124)

Applicant(s): Ferrari, et al.  
Serial No.: 09/961,131  
Filed: September 21, 2001  
For: SCALABLE HIERARCHICAL DATA-DRIVEN NAVIGATION  
SYSTEM AND METHOD FOR INFORMATION RETRIEVAL  
Group Art Unit: 2179  
Examiner: Chuong, Truc T  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE UNDER 37 C.F.R. 1.8(a)**

I hereby certify that this correspondence is being as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date set forth below.

3/2/05  
Date

Anthony Sutton  
Anthony Sutton

**TRANSMITTAL LETTER**

Commissioner:

Enclosed for filing in the above-identified patent application are the following documents:

- 1.) Information Disclosure Statement;
- 2.) Form PTO-1449, including 2 references;
- 3.) Copy of the International Search Report from PCT/US2004/029142; and
- 4.) Return Postcard.

Please charge any deficiency or credit any overpayment in connection with this matter to Deposit account No. 08-0219.

Respectfully submitted,

Date: February 28, 2005

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**PATENT**

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner:

Applicants and their legal representatives hereby make of record on the attached Form PTO-1449 the following publications which are known to them and considered warranting disclosure under 37 C.F.R. §1.56 and 1.97-98. Some of the publications were cited in the International Search Report for PCT/US2004/029142. A copy of the International Search Report is enclosed. Copies of the cited U.S. patent references are not enclosed as the requirement under 37 CFR 1.98(a)(2)(i) has been waived.

It is respectfully requested that the information above be expressly considered during the prosecution of this application and that the publications be made of record therein and appear among the "References Cited" on any patent to issue therefrom. In this regard, it is requested that the Examiner initial and return a copy of the enclosed Form PTO-1449 with the next Patent Office Communication.

This submission does not represent that a search has been made and does not constitute an admission that the listed documents are material to patentability or that the listed documents are prior art.

09/961,131  
Ferrari, et al.

If it should be determined that any of the listed documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

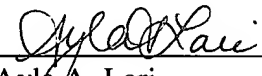
Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits and is therefore submitted as both timely and proper; therefore, no fees are believed to be due.

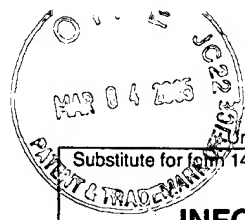
The Commissioner, however, is hereby authorized to charge any fee deficiency or credit any overpayment to Deposit Account No. 08-0219.

Respectfully submitted,

Date: February 28, 2005

  
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Ayla A. Lari  
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Sheet	1	of	1
Application Number	09/961,131		
Filing Date	September 21, 2001		
First Named Inventor	Ferrari, et al.		
Art Unit	2179		
Examiner Name	CHUONG, Truc T.		
Attorney Docket Number	109878.124		

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2(If known)</sup>			
		4,879,648	11/7/1989	Cochran, et al.	
		5,206,949	4/27/1993	Cochran, et al.	
		5,768,581	6/16/1998	Cochran	
		6,345,273	2/5/2002	Cochran	
		6,453,315	9/17/2002	Weissman, et al.	
		US 2004/0117366 A1	6/1720/04	Ferrari, et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2(If known)</sup>			
		EP 0 597 630 A1	5/181994	Conquest Software, Inc.	
		WO 03/027902 A1	4/3/2003	Endeca Technologies, Inc.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is established to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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